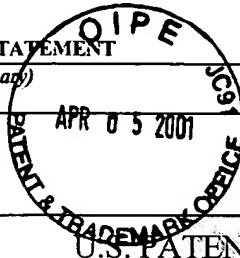


5Form PTO-1449 (Rev. 2-32)	Department of Commerce Patent & Trademark Office	Atty. Docket No. CITI0128	Serial No. 09/454,978
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant Peter E. RAYNER, et al.	
		Filing Date December 3, 1999	Group 2768



U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date (if appropriate)
<i>GA</i>		5,890,138	3/30/99	Godin, et al.	705	26	8/26/96
<i>GA</i>		5,873,071	2/16/99	Ferstenberg, et al.	705	37	5/15/97
<i>GA</i>		5,864,827	1/26/99	Wilson	705	35	6/27/97
<i>GA</i>		5,842,178	11/24/98	Giovannoli	705	26	1/30/98
<i>GA</i>		5,832,505	11/3/98	Kasso, et al.	707	104	4/2/97
<i>GA</i>		5,809,483	9/15/98	Broka, et al.	705	37	11/14/97
<i>GA</i>		5,797,127	8/18/98	Walker, et al.	705	5	12/31/96
<i>GA</i>		5,794,219	8/11/98	Brown	705	37	2/20/96
<i>GA</i>		5,787,402	7/28/98	Potter, et al.	705	37	10/8/96
<i>GA</i>		5,765,141	6/9/98	Spector	705	14	10/6/95
<i>GA</i>		5,761,661	6/2/98	Coussens, et al.	707	9	7/14/94
<i>GA</i>		5,749,077	5/5/98	Campbell	705	36	1/23/97
<i>GA</i>		5,717,989	2/10/98	Tozzoli, et al.	705	37	10/13/94
<i>GA</i>		5,710,889	1/20/98	Clark, et al.	305 235	244 379	6/7/95
<i>GA</i>		5,692,233	11/25/97	Garman	705	36	2/3/95
<i>GA</i>		5,557,517	9/17/96	Daughterty, III	364 705	408 37	7/29/94
<i>GA</i>		5,500,793	3/19/96	Deming, Jr., et al.	364 705	401 37	9/2/93
<i>GA</i>		5,375,055	12/20/94	Togher, et al.	364 705	408 37	2/3/92
<i>GA</i>		5,339,392	8/16/94	Risberg, et al.	395 345	161 762	12/28/90
<i>GA</i>	*	5,305,200	4/19/94	Hartheimer, et al.	705	37	11/2/90
<i>GA</i>	*	5,297,032	2/1/91	Trojan, et al.	705	37	2/01/91
<i>GA</i>		5,297,031	3/22/94	Guttermann, et al.	364 705	408 37	3/6/90
<i>GA</i>		5,258,908	11/2/93	Hartheimer, et al.	364 705	408 37	11/2/90
<i>GA</i>		5,136,501	8/4/92	Silverman, et al.	364 705	408 37	5/26/89
<i>GA</i>		5,126,936	6/30/92	Champion, et al.	364 705	408 36	9/1/89

* References cited in parent (U.S. Serial No. 08/836,713), and not provided herewith.

GA	*	5,113,499	5/12/92	Ankney, et al.	340	574	4/28/89
GA		5,101,353	3/31/92	Lupien, et al.	364 705	408 37	5/31/89
GA		5,095,429	3/10/92	Harris, et al.	364 705	408 35	8/28/90
GA		5,077,665	12/31/91	Silverman, et al.	364 705	408 37	5/25/89
GA	*	4,975,865	12/4/90	Carrette, et al.	700	10	5/31/89
GA	*	4,942,616	7/17/90	Linstroth, et al.	704	275	4/29/85
GA	*	4,903,201	2/20/90	Wagner	705	37	11/3/83
GA	*	4,825,050	4/25/89	Griffith, et al.	235	379	2/13/83
GA		4,823,265	4/18/89	Nelson	364 705	408 35	5/18/87
GA	*	4,789,928	6/15/88	Fujisaki	705	37	1/30/87
GA		4,774,662	9/27/88	Ito, et al.	364 705	408 42	3/21/86
GA	*	4,677,552	6/30/87	Sibley, Jr.	705	37	10/5/84
GA	*	4,674,044	6/16/87	Kalmus, et al.	705	37	1/30/85
GA		4,412,287	10/25/83	Braddock, III	364 705	408 37	9/15/82

FOREIGN PATENT DOCUMENTS

GA	*	WO 91/14231	3/6/90	PCT			
GA	*	EPO 0512702 A2	5/3/91	European Union			
GA	*	EPO 0388162 A2	3/14/90	European Union			
GA	*	GB 2277389 B	3/17/94	Great Britain			
GA	*	EPO 0434224 A2	11/22/90	European Union			
GA	*	EPO 0471063 B1	2/27/92	European Union			
GA	*	GB 2161003 A	6/28/85	Great Britain			
GA	*	GB 2165421 A	4/9/86	Great Britain			
GA	*	EPO 0513484 A2	2/27/92	European Union			
GA	*	EPO 0401203 A2	5/30/90	European Union			
GA		WO 95/26005	9/28/95	Belzberg	G06F	17/60	3/3/95
GA		EP 0 762 304 A1	3/12/97	Friedman, et al.	G06F	17/60	9/14/95
GA		WO 98/53417	11/26/98	Aziz, et al.	G06F	19/40	5/19/97

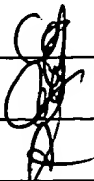
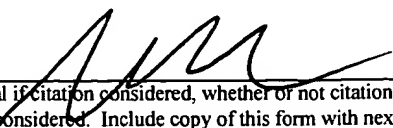
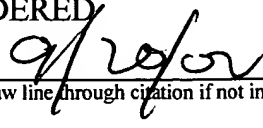
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

GA	*	Anonymous, Cash Management News, No. 74, pp. 1-2, November, 1991					
---------------	---	--	--	--	--	--	--

	*	Anonymous, Automation of foreign exchange activity in Supplement to Corporate Finance, pp. 20-23, September, 1992
	*	Orfali, Robert and Harkey, Dan, "Client server survival guide with OS/2," 1994 by Nostrand Reinhold, pp. 386-391
	*	Chon, S., Jo, J., and Park, Y., Time-out situation signaling method for real-time OS – involves calling ***interrupt*** service routine and processing ***timeout*** request, KR 9407830 B, ABSTRACT, 1 page, June 18, 1996
	*	Anonymous, Financial Information Exchange Protocol, Version 2.7(a), pp. i-iv, 1-9, 40-41, January 17, 1995
	*	Interactive Brokers LLC, "Real time global electronic trade execution," Interactive Brokers Brochure, October 16, 1997
	*	Opposition by Deutsche Bank AG (German and translated versions) with attachments (German and translated versions), dated December 19, 1997, having EPO file number 0384-49.676EP-kö
	*	Opposition by Bayerische Vereinsbank AG (German and translated versions) with attachments (German and translated versions), dated December 19, 1997, having EPO file number 0384-49.676EP-kö
	*	DTB Deutsche Terminbörse GmbH (a) Rundschreiben No. 66/91 dated 6.8.1991 (German), (b) Letter of Mark Thornburgh dated December 16, 1997 (English)
	*	Confirmation of the QT Optec company dated December 12, 1997 (German) with Encl. 1 to 3 (German/English)
	*	Extract from the stock exchange regulations of the German Futures Exchange DTB of March, 1995 (German)
	*	Anwenderhandbuch "OPTIONSSCHEINGESCHAFT," dated December 2, 1997, pp. 1-22 (German)
	*	DIOS Kurzbeschreibung, SGZ-Bank, September 26, 1994 (German)
	*	DIOS Prospekt, SGZ-Bank, 4/95 (German)
	*	Ablauf von DIOS Bildschirmmasken (German)
	*	Begriff der Reaktionszeit im DIOS, dated May 25, 1994
	*	DIOS Schulungsunterlagen, SGZ-Bank, dated 10./11.10.1994
	*	Rundschreiben of the SGZ-Bank to the Volks- and Raiffeisenbanken / 4 letters, dated 15.08.1995, 13.04.1995, 04.07.1994, 10.08.1995 (German)
	*	INFORMATION / Mitarbeiterzeitung der SGZ-Bank / September, 1994, pp. 1-2 (German)
	*	Rundschreiben of the SGZ-Bank to the Volks- and Raiffeisenbanken / 2 letters, dated 11.10.1994 and 11.11.1994 (German)
	*	Notice from Mrs. Christa Franke, dated January 31, 1995, to Herrn Dr. Franke and Herrn Seip (German)
	*	Declaration "Christa Franke" of December 18, 1997, together with Notice to Herrn Dr. Franke and Herrn Seip of February 3, 1995 (German)
	*	Message from REUTER of January, 1995 concerning CATS-OS (German)

	*	Extract from "Wirtschaftswoche," No. 5 / 28.1.1995, p. 88 (German)
	*	"Computerwissen," Verlag Markt + Technik 1992, Haar/Munchen, p. 236/237 (German with English Translation)
	*	Lecture by Dipl.-Math. Steffen Rabmann, "Sicherheit in der Kommunikationstechnik ...," September, 1993 (German)
	*	Prospekt DIOS / Stand 2 / 1996 (German)
	*	Prospekt DIOS / Stand 4 / 1995 (German)
	*	DIOS Pflegedialoge – Schulung – 4.10.1994 (German)
	*	Letter Fiducia of April 10, 1995 (German)
	*	Extract Prospekt FIDUCIA, 27.-29.6.1995 (German)
	*	Kurzbeschreibung, "Erste Schritte" of the DIOS System, dated May 10, 1995
	*	"Bildschirmmasken" des DIOS Systems, dated December 8, 1997
	*	Udo Bretschneider: PC für Einsteiger Data Becker, Düsseldorf, 1994: pages 512-513 (English Translation)
	*	DIOS: Documentation of a test of the request mode and of the refresh function of May 24, 1995
	*	DIOS: Printout from a display screen, dated June 19, 1995, showing the request mode
	*	DIOS: Release planning of the DIOS system of November 15, 1996
	*	Letter from SGZ-Bank to Volksbank eG, a participant in the pilot phase, dated July 21, 1994
	*	Response to comment on the Oppositions by Siemens Nixdorf Informationssysteme AG
	*	Response to comment on the Oppositions by Bayerische Vereinbank AG
	*	Response to comment on the Oppositions by Commerzbank AG
	*	Response to comment on the Oppositions by Deutsche Bank AG
	*	Response to comment on the Oppositions by Deutsche Börse AG
	*	Response to comment on the Oppositions by Schwizerischer Bankverein AG
	*	Response to comment on the Oppositions by SGZ-Bank AG
	*	Author unknown, English Translation – <u>DIOS – Short Description</u> (at the start of the pilot phase); SGZ Bank, 26 September, 1994
	*	Author unknown, English Translation – DIOS – <u>III.2.5 Reaction time</u> , version 11, page 47, May 25, 1994
	*	Author unknown, English Translation – <u>DIOS</u> (brief overview); SGZ Bank, April, 1995
	*	Brand, Rupp, Wiedl, English Translation – <u>Performance catalog for MB foreign exchange</u> , SGZ Bank, version 12, pages 6, 22, 79, 92, 99-100, 102, May 31, 1994

RECEIVED
APR X 6 2001
Group 2100

	*	International Search Report for International Application No. PCT/EP96/03972, dated December 10, 1996 (mailing date)
		European Search Report for Application No. 99123955.9-2201, dated January 5, 2001
		Internet Site https://wpl.itn.net/cgi/store (Reference Not Included)
EXAMINER 		DATE CONSIDERED 
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication.		

Form PTO-FB A820
(also form PTO-1449)

C0464/183785/WSHLIB01:98874

Patent and Trademark Office—US DEPARTMENT OF COMMERCE

RECEIVED
APR X 6 2001
Group 2100

5Form PTO-1449 (Rev. 2-32)		U.S. Department of Commerce Patent & Trademark Office		Atty. Docket No. CITI0128		Serial No. 09/454,978	
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				Applicant Peter E. RAYNER, et al.			
Filing Date December 3, 1999				Group 2768			

O I P E J C I T T
 APR 25 2001
 PATENT & TRADEMARK OFFICE

U.S. PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Name	Class	Sub-Class	Filing Date (if appropriate)	
CA	6,058,378	5/2000	Clark, et al.	705	37		
CA	5,987,432	11/1999	Zusman, et al.	705	35		
CA	5,970,479	10/1999	Shepherd	705	37		
CA	5,915,209	6/1999	Lawrence	455 340	31.2 3.1		
CA	5,893,079	4/1999	Cwenar	705	36		
CA	5,788,224	8/1998	Platt	256	66		
CA	5,778,224	7/1998	Tobe, et al.	709	100		
CA	5,508,913	4/1996	Yamamoto, et al.	364 705	408 37		
CA	5,350,200	4/1994	Hartheimer, et al.	364 285	408 92		
CA	5,270,922	12/1993	Higgins	705	37		
CA	5,175,797	12/1992	Funabashi, et al.	706	16		
CA	4,363,489	12/1982	Chodak, et al.	273	237		
FOREIGN PATENT DOCUMENTS							
CA	WO 95/06918	3/1995	Lupien, et al.				
CA	UK 2258061A	1/1993	Shyu				
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	"Planned Bloomberg Equity Trading System to Route Equities Orders to NYSE's Superdot," <i>Trading Systems Technology</i> , Vol. 5, No. 7, October 7, 1991						
	Schmerken, Ivy, "Chicago's Fate in a World of Futures," <i>Wall Street & Technology</i> , v. 10, n. 7, p. 22, February 1993						
EXAMINER				DATE CONSIDERED 9/20/02			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication.							